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PATENT

Attorney Docket No. 940010.525C1
Date: June 8, 1992

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Washington Research Foundation
Serial No.: 07/820,409
Filed: January 13, 1992
For: Immune Reactivity to Expressed Activated Oncogenes for Diagnosis and Treatment of Malignancy
Group No.: 1812
Examiner: G. Wang

COPY

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(d) AND 1.27 (d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Washington Research Foundation

ADDRESS OF ORGANIZATION: 4225 Roosevelt Way NE Suite 303
Seattle, WA 98105

TYPE OF ORGANIZATION

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. §§501(a) AND 401(c) (3))
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE

UNITED STATES OF AMERICA (NAME OF STATE _____) (CITATION OF
STATUTE _____)

Small Entity - Nonprofit Organization

☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE
(26 U.S.C. §§501(a) AND 401(c) (3)) IF LOCATED IN THE UNITED STATES OF
AMERICA

☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER
STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE
UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as
defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35,
United States Code with regard to the invention entitled:

Immune Reactivity to Expressed Activated Oncogenes for Diagnosis and Treatment of Malignancy by
inventor(s) Martin A. Cheever and David J. Peace, described in:

- ☐ the specification filed herewith.
- ☒ application Serial No. 07/820,409 filed January 13, 1992.
- ☐ Patent No. _____, issued _____.

I hereby declare that the rights under contract or law have been conveyed to and remain with the nonprofit
organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization
having rights to the invention is listed below* and no rights to the invention are held by any person, other
than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d) or by any
concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit
organization under 37 C.F.R. §1.9(3).

*NOTE: Separate verified statements are required from each named person, concern or
organization having rights to the invention averring to their status as small entities. (37
C.F.R. §1.27)

Small Entity - Nonprofit Organization

Full Name:

Address:

() Individual () Small Business Concern () Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate 37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

ROBERT G. SLOMAN

TITLE IN ORGANIZATION

PRESIDENT

ADDRESS OF PERSON SIGNING

Suite 303, 4225 ROOSEVELT WAY NE

SEATTLE, WA 98105

SIGNATURE

Robert G. Sloman

DATE

June 8th, 1992.

CHEEVER.SMA
L&O

Small Entity - Nonprofit Organization

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DECLARATION AND POWER OF ATTORNEY

As the below-named inventors, we declare that:

Our residences, post office addresses, and citizenships are as stated below under our names.

We believe we are the original, first and joint inventors of the invention entitled "IMMUNE REACTIVITY TO EXPRESSED ACTIVATED ONCOGENES FOR DIAGNOSIS AND TREATMENT OF MALIGNANCY," which is described and claimed in the specification and claims of C-I-P patent application Serial No. 07/820,409, which we filed in the United States Patent and Trademark Office on January 13, 1992 and for which a patent is sought; and that this application in part discloses and claims subject matter disclosed in our earlier-filed application Serial No. 07/470,645, entitled "IMMUNE REACTIVITY TO EXPRESSED ACTIVATED ONCOGENES FOR DIAGNOSIS AND TREATMENT OF MALIGNANCY," which we filed in the United States Patent and Trademark Office on January 26, 1990 and which has been abandoned.

We have reviewed and understand the contents of the above-entitled specification, including the claims, as amended by any amendment specifically referred to herein (if any).

We acknowledge our duty to disclose information of which we are aware which is material to the examination of this application in accordance with 37 C.F.R. § 1.56(a), including material information which occurred between the filing date of said earlier-filed pending application and the filing date of the C-I-P application.

We hereby claim priority based on a foreign patent application filed in the Patent Cooperation Treaty, identified by Serial No. PCT/US91/00497, filed on January 24, 1991.

We hereby appoint RICHARD W. SEED, Registration No. 16,557; ROBERT J. BAYNHAM, Registration No. 22,846; EDWARD W. BULCHIS, Registration No. 26,847; GEORGE C. RONDEAU, JR., Registration No. 28,893; DAVID H. DEITS, Registration No.

28,066; WILLIAM O. FERRON, JR., Registration No. 30,633; PAUL T. MEIKLEJOHN, Registration No. 26,569; DAVID J. MAKI, Registration No. 31,392; ROBERT M. STORWICK, Registration No. 30,112; RICHARD G. SHARKEY, Registration No. 32,629; GEORGE B. FOX, Registration No. 31,510; DAVID V. CARLSON, Registration No. 31,153; MAURICE J. PIRIO, Registration No. 33,273; KARL R. HERMANN, Registration No. 33,507; L. GRANT FOSTER, Registration No. 33,236; and DAVID D. McMASTERS, Registration No. 33,963, composing the firm of SEED and BERRY, 6300 Columbia Center, Seattle, Washington 98104-7092, our attorneys to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. Please direct all telephone calls to Richard G. Sharkey at (206) 622-4900 and telecopies to (206) 682-6031.

We further declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of any patent issuing from this patent application.

Martin A. Cheever
Martin A. Cheever

Date 5/6/92

Residence : City of Mercer Island, County of King
State of Washington

Citizenship : United States of America

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Mercer Island, Washington 98040

SUBSCRIBED AND SWORN TO BEFORE ME

on 6 day of May, 1992

Daphne Cross
Deputy Clerk

Notary Public in and for the State
of Washington, King County, Seattle



David J. Peace

Date May 31, 1992

Residence : City of Seattle, County of King
State of Washington

Citizenship : United States of America

P.O. Address : 1124 N. 92nd Street Apt. 201
Seattle, Washington 98103